



# Indiana Department of Education

SUPPORTING STUDENT SUCCESS

## Office of Title I Academic Support

### MEMORANDUM

TO: Superintendents

FROM: Teresa Neely  
Coordinator of Title I  
Differentiated Learners Division

RE: Overview of Monitoring

DATE: August 11, 2009

The No Child Left Behind (NCLB) legislation and federal grants management regulation requires that states carry out monitoring to ensure the proper administration of federal funds. In order to oversee local compliance with education requirements under the Title I Elementary and Secondary Education Act of 1965 (including *No Child Left Behind* requirements), the Office of Title I Academic Support has completed the third year of its "Monitoring and Review Process."

Over the course of the 2008-2009 school year, much has been learned and further clarification from the USDE continues to be disseminated. We have a four-tiered, risk and data-driven compliance monitoring system. At this time, our monitoring process consists of:

#### **Four-tiered monitoring system**

##### **1. Application Review and Annual Reporting**

- All districts are monitored via a thorough review of the annual Title I Application (plan) due July 1, 2009;
- Several compliance issues are monitored via the annual program report and fiscal reports (including quarterly and annual expenditure reports).

##### **2. Telephone monitoring**

- About 95% of all LEAs are called for more detailed information regarding the Application Review and for issues that arise during the year.

##### **3. Three-year Cycle Monitoring**

- Documentation for certain NCLB compliance issues are divided into a 3-year cycle. LEAs are assigned one of 3 cycles each year, with all LEAs completing the monitoring cycle every 3 years.
  1. Cycle 1 – Plans for School Improvement and Schoolwide Programs; Equipment/Technology Inventories; and Fiscal records from 2008-2009 for mandatory set-asides, and additional data for comparability;
  2. Cycle 2 – LEA Parental Involvement policy; Parent's Right To Know letters; School Parental Involvement Policy; School- Parent Compacts; evidence of the Title I Annual Parent Meeting;
  3. Cycle 3 – Time and Effort logs; Semi-Annual Certification; Student Selection and; participation lists (TAS Schools only).

#### **4. On-site Monitoring**

- IDOE uses a "Risk-based" Monitoring System to determine which districts to visit. Risk factors are:
  1. Volume of money
  2. Fiscal concerns:
    - excess carryover
    - late expenditure reporting
    - late quarterly monitoring reporting
    - questions about or misuse of other federal funds
    - excess cash balance
    - expenditure reports not matching the approved budget
  3. Performance of schools/LEA:
    - LEA in improvement
    - Schools in improvement
  4. School Improvement Issues:
    - concerns with handling of Choice
    - concerns with SES
    - corrective action
    - restructuring
  5. Late application (after July 1<sup>st</sup>)
  6. Late amendment (after April 1<sup>st</sup>)
  7. Late cycle documentation
  8. Program concerns such as, but not limited to:
    - high number of paraprofessionals
    - large sums in equipment, supplies, technology
  9. NCLB complaint filed on an LEA

During the course of the 2008-2009 monitoring process, several tools were posted on our website at: <http://www.doe.in.gov/TitleI/welcome.html>; with updates forthcoming.

Examples of what can be found at the website are:

- Complete Monitoring Packets for each cycle
- Monitoring checklists used to ensure compliance
- Copies of monitoring reports for districts visited
- Samples of letters and other documents needed for districts to be in compliance
- Sample documents

All documentation required during monitoring should be mailed, prior to their due dates, to:

Indiana Department of Education  
Office of Title I Academic Support  
151 West Ohio Street  
Indianapolis, IN 46204

Thank you for your assistance in conducting the monitoring of your NCLB programs. If you have any questions or need technical assistance, please contact your assigned Title I Specialist at 317-232-0540 or Toll Free 877-418-7240.

cc: Title I Program Administrator  
Business Manager/Treasurer